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Date: January 8, 2003

Signed:
Peter K. Trzyna (Reg. No. 32,601)

PATENT

Paper No.

File: Newmrkt-P1-98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor : Anthony F. Herbst and Wayne F. Perg

Serial No. : 09/197,908

Filed : November 23, 1998

For : DIGITAL COMPUTER SYSTEM AND METHODS FOR
MANAGING AN AUCTION MARKET FOR PREFERRED-
RETURN SECURITIES

Group Art Unit : 2761

Examiner : Retta Yehdega

Honorable Commissioner of Patents
and Trademarks
Washington, D.C. 20231

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U.S. PATENT AND TRADEMARK OFFICE

REQUEST FOR REFUND OF PTO FEES

SIR:

On July 1, 2002, PTO Deposit Account 50-0235 was charged \$730.00 for as Extension for Response within Third Month for the above-identified application. The fee charged to PTO Deposit Account 50-0235 for the above-identified application is large entity fee.

On November 23, 1998, a copy of the Verified Statement (Declaration) Claiming Small Entity Status was filed in the above-identified application, as shown by the PTO stamped postcard. Copies of the PTO stamped postcard and the November 23, 1998, filing are enclosed herewith.

On December 14, 1998, the PTO mailed a Filing Receipt showing the entity

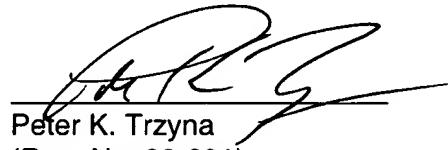
- 1 -

status of the applicant as "SMALL ENTITY". A copy of the Filing Receipt dated December 14, 1998, is enclosed.

Please credit the amount of \$295.00 to PTO Deposit Account No. 50-0235.

The Commissioner is hereby authorized to charge any fees associated with the above-identified patent application or credit any overcharges to Deposit Account No. 50-0235. Please direct all correspondence to the undersigned at the address given below.

Respectfully submitted,



Peter K. Trzyna
(Reg. No. 32,601)

Date: January 8, 2003

P.O. Box 7131
Chicago, IL 60680-7131

(312) 240-0824

FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/197,908	11/23/98	2787	\$735.00	NEWMRKTP98-1	11	32	6

PETER K. TRZYNS
PO BOX 7131
CHICAGO IL 60680



Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

ANTHOPNY F. HERBST, EL PASO, TX.

FOREIGN FILING LICENSE GRANTED 12/14/98
TITLE

* SMALL ENTITY *

DIGITAL COMPUTER SYSTEM AND METHODS FOR MANAGING AN AUCTION MARKET
FOR PREFERRED-RETURN SECURITIES

PRELIMINARY CLASS: 364



DATA ENTRY BY: SMALLWOOD, EAON

TEAM: 06 DATE: 12/14/98

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The U.S. Patent and Trademark Office is requested to place its stamp hereon and place this in the mail to acknowledge its receipt of the following in:

Serial/Patent No. 1 Trademark No. 1 Atty. Ref. No. 1
Filing Date 23 Nov 1998 Date Mailed: 23 Nov 1998 Express Mail NE F24712 T36745

Inventor(s) / Applicant: Anthony Heebst & Wayne Fong
Heebst, Fong and Associates Inc., Monroeville, PA

Y/N Trademark: *Digital Components* *for* *PC* *Components* *and* *Accessories*
Y/N Orig. Patent Appln. (Utility / Plant / Design) of _____ Total Pages with at least 1 Claim &
Sheets of Drawings Figs. 1 to _____

<input checked="" type="checkbox"/> Y / N Orig. Patent Appl. (Utility / Plant / Design) or <input checked="" type="checkbox"/> Abstract Plus _____ Pages of Appendix &	<input type="checkbox"/> Sheets of Drawings Figs. 1 to _____ <input type="checkbox"/> Proposed Amendment to Drawings <input type="checkbox"/> Letter to Draftsman <input type="checkbox"/> Notice of Appeal <input type="checkbox"/> Appeal / Reply Brief
<input checked="" type="checkbox"/> Transmittal Letter <input checked="" type="checkbox"/> Declaration and Power of Attorney <input checked="" type="checkbox"/> Verified Stmt. Claiming Small Entity <input checked="" type="checkbox"/> Missing Parts PTO Form 1553 <input checked="" type="checkbox"/> Assignment & PTO Form 1595 <input checked="" type="checkbox"/> IDS & PTO Form 1449 & Cited Art <input checked="" type="checkbox"/> Status Letter <input type="checkbox"/> Amendment / Response <input type="checkbox"/> Revocation of Prior Power of Attorney <input type="checkbox"/> Check \$ <u>40 + 796</u> <input type="checkbox"/> Petition <input type="checkbox"/> Issue Fee Transmittal PTO Form 85B <input type="checkbox"/> Other:	<input type="checkbox"/> Y / N Original Trademark Application <input type="checkbox"/> Y / N Intent to Use <input type="checkbox"/> Specimens <input type="checkbox"/> Sec. 8 _____ Sec. 15 _____ Combined <input type="checkbox"/> Renewal C511 U. S. PTO <input type="checkbox"/> Extension 09/197908 <input type="checkbox"/> Use

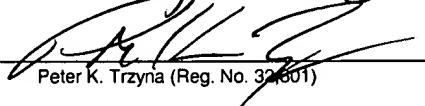
11/23/98 VINTAGE POSTCARD BOOK



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TRANSMITTAL LETTER

SIR :

Please enter the following enclosed documents in the above-identified patent application.

1. Request for Refund of PTO Fees;
2. A copy of the Verified Statement Claiming Small Entity Status filed November 23, 1998;
3. A copy of the PTO Stamped Postcard showing receipt of the Verified Statement Claiming Small Entity Status; and
4. A copy of the Filing Receipt showing entity status as "SMALL ENTITY".

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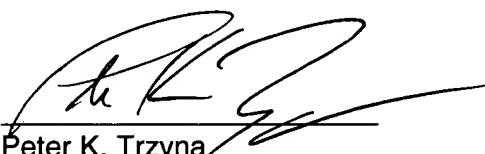
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